



Attorney Docket No. AWGK-001  
48971-023

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Alan W. H. Grant  
Serial No: 09/766,698  
Filing Date: January 22, 2001  
Title: CONSTITUENCY VALUE EXCHANGE OPTIMIZATION METHOD  
Art Unit: 2161

**CERTIFICATE OF MAILING PURSUANT TO 37 CFR 1.8 (a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service pursuant to 37 CFR 1.8(a) as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Date: 5/18/01

Paul C. Speidel  
Paul C. Speidel

BOX MISSING PARTS  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

Transmitted herewith for filing are the following documents:

- ☒ Petition for One Month Extension of Time
- ☒ Copy of Notice to File Missing Parts
- ☒ Response to Notice to File Missing Parts
- ☒ Declaration and Power of Attorney for Patent Application (three pages)

A \$120.00 check is enclosed (\$55.00 one month extension of time set forth in 37 CFR 1.17(a)(1); and \$65.00 surcharge for a small entity set forth in 37 CFR 1.16(e) in compliance with 37 CFR 1.27). The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1133.

Respectfully submitted,

By Scott A. Ouellette  
Scott A. Ouellette, Reg. No. 38,573  
McDERMOTT, WILL & EMERY  
28 State Street  
Boston, MA 02109  
Tel (617) 535-4422  
Fax (617) 535-3800

Date: May 18, 2001

BST99 1214374-1.048971.0023



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT**

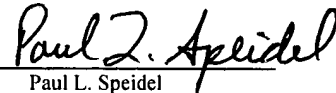
Applicant: Alan W. H. Grant  
Serial No. 09/766,698  
Filed: January 22, 2001  
Title: Constituency Value Exchange Optimization Method  
Docket No.: 48971-023 (AWGK-001)

Group Art Unit: 2161

**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service pursuant to 37 CFR 1.8(a) as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Date: May 18, 2001

  
Paul L. Speidel

**BOX MISSING PARTS**  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, dated March 2, 2001, Applicant encloses an executed Declaration and Power of Attorney For Patent Application, as three (3) sheets, in compliance with 37 CFR 1.27. A \$65.00 surcharge fee is also enclosed.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-1133. A duplicate copy of this letter is provided for this purpose.

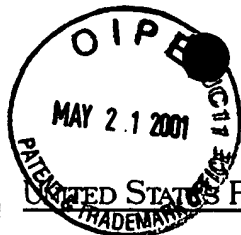
Respectfully submitted,

McDERMOTT, WILL & EMERY



Date: May 18, 2001

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

# 3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/766,698	01/22/2001	Alan W. H. Grant	48971-023 (AWGK-001)

CONFIRMATION NO. 1729

## FORMALITIES LETTER



\*OC000000005821161\*

McDermott Will & Emery  
28 State Street  
Boston, MA 02109-1775

Date Mailed: 03/02/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

~~05/23/2001 DTESSEN1 00000010-09766698~~

FILED UNDER 37 CFR 1.53(b)

~~01 FC-205~~~~65.00 CR~~*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

Adjustment date: 06/21/2001 NHASSANI  
~~05/23/2001 DTESSEN1 00000010-09766698~~  
~~01 FC-205~~

*A copy of this notice MUST be returned with the reply.*

Repln. Ref: 06/21/2001 NHASSANI 0012585800  
DAO:501133 Name/Number:09766698  
FC: 704 \$65.00 CR

*Thomas R. Lee*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE